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Preparatory Commission for the International Criminal Court

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Proceedings of the Preparatory Commission at its ninth session (8-19 April 2002)

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Summary

Rapporteur: Mr. Salah **Suheimat** (Jordan)

1. The Preparatory Commission for the International Criminal Court, established in accordance with resolution F adopted by the United Nations Diplomatic Conference of Plenipotentiaries on the Establishment of an International Criminal Court on 17 July 1998, met at United Nations Headquarters from 8 to 19 April 2002, in accordance with General Assembly resolution 56/85 of 12 December 2001.

2. In accordance with paragraph 2 of resolution F of the Conference, the Preparatory Commission consists of representatives of States which signed the Final Act of the Conference and other States which were invited to participate in the Conference.

3. Under paragraph 4 of General Assembly resolution 56/85, the Secretary-General was requested to reconvene the Preparatory Commission, in accordance with resolution F of the Conference, from 8 to 19 April and from 1 to 12 July 2002, so as to continue to carry out the mandate of that resolution and, in that connection, to discuss ways to enhance the effectiveness and acceptance of the Court.

4. In accordance with paragraph 6 of General Assembly resolution 56/85, the Secretary-General invited, as observers to the Preparatory Commission, representatives of organizations and other entities that have received a standing invitation from the General Assembly, pursuant to its relevant resolutions, to participate in the capacity of observers in its sessions and work, and also invited as observers to the Commission representatives of interested regional intergovernmental organizations and other interested international bodies, including the International Tribunal for the Former Yugoslavia and the International Tribunal for Rwanda.

5. Under paragraph 7 of the same resolution, non-governmental organizations may participate in the work of the Preparatory Commission by attending its plenary and its other open meetings, in accordance with the rules of procedure of the Commission, receiving copies of the official documents and making available their materials to delegates.

6. The Bureau of the Preparatory Commission, which was elected at the 1st and 2nd meetings of the Commission, on 16 and 22 February 1999, elected at the 34th and 37th plenary meetings, on 8 and 19 April 2002, two new Vice-Chairmen, from the Eastern European Group and the African Group. The Bureau continued its work, with the following composition:

Chairman:
Philippe Kirsch (Canada)

Vice-Chairmen:
Enver Daniels (South Africa)
Mirza Kusljugic (Bosnia and Herzegovina)
George Winston McKenzie (Trinidad and Tobago)

Rapporteur:
Salah Suheimat (Jordan)

7. The Director of the Codification Division of the Office of Legal Affairs of the United Nations Secretariat, Václav Mikulka, acted as Secretary of the Preparatory Commission. The Codification Division provided the substantive servicing for the Commission.

8. In accordance with the decision taken at its 33rd meeting, on 5 October 2001, the Preparatory Commission agreed on a work plan for its ninth session, which provided that, in addition to the working groups on the first-year budget, on basic principles governing a headquarters agreement to be negotiated between the Court and the host country and on the crime of aggression, the following two additional working groups would be established: the Working Group on the Assembly of States Parties -- Preparatory Documents, and the Working Group on Financial Issues. The coordinators for the two additional working groups were to be Mr. Saeid Mirzaee-Yengejeh (Islamic Republic of Iran) as Coordinator for the Working Group on the Assembly of States Parties — Preparatory Documents, and Mr. Rolf Fife (Norway) as Coordinator for the Working Group on Financial Issues.

9. Mr. Fife was no longer available to coordinate the work on financial issues; accordingly at the 34th plenary meeting, on 8 April, the Bureau reassigned Mr. Fife's tasks to four other coordinators. The list of coordinators at the current session is therefore as follows:

(a) Zsolt Hetesy (Hungary), Coordinator for the Basic Principles Governing a headquarters agreement to Be Negotiated between the Court and the Host Country;

(b) Saeid Mirzaee-Yengejeh (Islamic Republic of Iran), Coordinator for the Assembly of States Parties — Preparatory Documents;

(c) Valentin Zellweger (Switzerland), Coordinator for the First-Year Budget;

(d) Christian Much (Germany), Coordinator for the Financial Rules;

(e) Gaile Ramoutar (Trinidad and Tobago), Coordinator for the Victims Trust Fund;

(f) John Holmes (Canada), Coordinator for the remuneration of judges, the Prosecutor and the Registrar;

(g) Silvia Fernández de Gurmendi (Argentina), Coordinator for the Crime of Aggression.

10. At its 35th meeting, on 11 April 2002, the Preparatory Commission was addressed by His Excellency President Arthur Robinson of Trinidad and Tobago.

11. At its 36th meeting, on 15 April 2002, the Preparatory Commission took note of the oral report of Ms. Silvia Fernández de Gurmendi (Argentina), Chair of the Bureau's subcommittee acting as an interlocutory with the host country, on the functions that the subcommittee and the host country had identified as being necessary to take as soon as possible in order to ensure the expeditious establishment of the Court. The Chair of the subcommittee noted that those functions included the setting up of provisional systems to provide the basic elements necessary to ensure that the infrastructure was in place to welcome the first officials of the Court. Those systems, to be devised by an advance team of experts, would also ensure custody of information received after the entry into force of the Rome Statute and would allow for the Court to rapidly recruit personnel and procure the goods and services necessary for its effective functioning. To that end, the aim

was that the experts would assist with the setting up of systems for human resources, a computerized financial system that would take into account the special requirements of a judicial institution, a computerized data and case management system, a security system, as well as systems on legal issues, public information, and the administration and management of the building. More specifically, the setting up of those systems would entail the following tasks:

- In the area of human resources: drafting model personnel contracts; beginning the preparation of job descriptions and a job classification system; recommending a commercial health insurance plan; recommending rules and regulations for service-incurred accidents; and establishing, with the assistance of financial experts, a payroll system;

- In the area of finance: preparing for the setting up of bank accounts, a budget system and a payment/accounting system with all relevant checks and controls;

- In the area of information technology: in consultation with the host country, beginning the basic work and preparing a full outline of the options available for a computerized data and case management system; providing the necessary support to help set up the human resources and finance systems; assisting on aspects of information security; and preparing a web site allowing for Internet access;

- In the area of security: establishing a mechanism to ensure information security; preparing staff policies on security aspects; and establishing connections with security systems of other relevant organizations;

- On legal issues: assisting in the legal aspects of the human resources, finance and procurement systems which are being set up; dealing with host country privileges and immunities issues; performing a "custodial function", i.e., acknowledging receipt of communications to the Court prior to the election of the high officials; and taking custody of documents that could constitute potential evidence in future proceedings before the Court;

- On public information: dealing, inter alia, with routine information matters; producing information materials; and updating the web site;

- On buildings and facilities management: liaising with the host country on the preparation of the temporary building, the building of a courtroom space and the appropriate allocation of furnishings;

- On procurement: recommending and preparing model procurement contracts and liaising with the host country on the provision of movable infrastructure.

12. The Chair of the subcommittee noted that there would be a need for an expert to coordinate the performance of the above-mentioned tasks, and also stressed that the experts would not be drafting the actual job descriptions and other human resources matters, nor would they be doing any actual procurement. Such matters would ultimately be left for the officers of the Court. The role of the advance team, which would comprise seven or eight independent, mid-level experts, would be to provide guidance and assistance to the Court during its initial stages. The experts would establish the systems and undertake functions until the first meeting of the Assembly of States Parties. The Chair of the subcommittee further explained that discussions were under way with the two ad hoc Tribunals and the Department of Peacekeeping Operations of the Secretariat to identify experts with proven

experience in the handling of systems similar to those required by the Court. As regards the financing of the team of experts, mention was made of contributions from the European Union and the MacArthur Foundation, a private independent charitable foundation.

13. At its 37th meeting, on 19 April 2002, the Chair of the subcommittee recommended that in order to expedite the arrangements for the advance team, it would be advisable to request the Secretary-General of the United Nations to provide assistance for the necessary preparatory work on a fully reimbursable basis. At the same meeting, the Preparatory Commission agreed with that recommendation.

14. Also at its 37th meeting, the Preparatory Commission took note of the oral reports of the coordinators of the working groups on: the Crime of Aggression, the Assembly of States Parties — Preparatory Documents, the Basic Principles Governing a Headquarters Agreement, the First-Year Budget, the Financial Rules, the Victims Trust Fund and the remuneration of judges, the Prosecutor and the Registrar.

15. At the same meeting, the Preparatory Commission adopted its report on its ninth session (PCNICC/2002/1 and Add.1 and 2), containing the draft texts of the basic principles governing a headquarters agreement to be negotiated between the Court and the host country and the Financial Rules, as well as two draft resolutions for adoption by the Assembly of States Parties, one on the Secretariat of the Assembly of States Parties and the other on crediting contributions to the United Nations Trust Fund to Support the Establishment of the International Criminal Court.

16. The Preparatory Commission noted with satisfaction that, during its ninth session, 16 delegates had made use of the trust fund which, pursuant to paragraph 8 of General Assembly resolution 53/105 of 8 December 1998, had been established to facilitate the participation of the least developed countries in the work of the Commission. The International Human Rights Institute of DePaul University (United States of America) provided accommodation to delegates from the least developed countries that attended the session.

17. The list of documents relating to the items considered at the ninth session and remaining on the work plan of the Preparatory Commission is contained in annex I to the present document.

Annex I

List of documents*

[Original: Arabic/English/French/Spanish]

General documents

Symbol	*Description*
PCNICC/1999/INF/3	Rome Statute of the International Criminal Court, adopted at Rome on 17 July 1998 — Note by the Secretariat
PCNICC/2000/1	Report of the Preparatory Commission for the International Criminal Court
PCNICC/2000/1/Add.1	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part I — Finalized draft text of the Rules of Procedure and Evidence
PCNICC/2000/1/Add.2	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part II — Finalized draft text of the Elements of Crimes
PCNICC/2000/INF/4	Statements made in plenary in connection with the adoption of the report of the Working Group on the Rules of Procedure and Evidence and the report of the Working Group on Elements of Crimes
PCNICC/2001/1	Report of the Preparatory Commission for the International Criminal Court (continued)
PCNICC/2001/1/Add.1	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part I — draft Relationship Agreement between the Court and the United Nations
PCNICC/2001/1/Add.2	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part II — draft Financial Regulations
PCNICC/2001/1/Add.2/Corr.1	Corrigendum
PCNICC/2001/1/Add.3	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part III — draft Agreement on the Privileges and Immunities of the Court
PCNICC/2001/1/Add.4	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part IV — draft Rules of Procedure of the Assembly of States Parties
PCNICC/2002/1	Report of the Preparatory Commission for the International Criminal Court (continued)

* General documents, documents issued at the sixth to ninth sessions of the Preparatory Commission, documents of the Working Group on a Draft Budget for the First Financial Year of the Court, the Working Group on Financial Issues — Remuneration of Judges, the Working Group on Financial Issues — Victims Trust Fund, the Working Group on Assembly of States Parties — Preparatory Documents, as well as documents relating to the crime of aggression issued at the first to ninth sessions. For the list of documents relating to the Working Group on the Basic Principles Governing a Headquarters Agreement to be Negotiated between the Court and the Host Country and of the Working Group on Financial Issues — Financial Rules, issued at the eighth and ninth sessions of the Preparatory Commission, held in 2001 and 2002, see document PCNICC/2002/1, annex III.

Symbol	*Description*
PCNICC/2002/1/Add.1	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part I — draft basic principles governing a headquarters agreement to be negotiated between the Court and the host country
PCNICC/2002/1/Add.2	Report of the Preparatory Commission for the International Criminal Court — Addendum: Part II — draft Financial Rules

Sixth session of the Preparatory Commission (27 November-8 December 2000)

Symbol	*Description*
PCNICC/2000/L.4	Proceedings of the Preparatory Commission at its sixth session (27 November-8 December 2000) (draft summary)
PCNICC/2000/L.4/Rev.1	Proceedings of the Preparatory Commission at its sixth session (27 November-8 December 2000) (summary)
PCNICC/2000/DP.1	Proposal submitted by the United States of America — further issue for consideration by the Preparatory Commission
PCNICC/2000/INF/5	List of delegations (sixth session)

Seventh session of the Preparatory Commission (26 February-9 March 2001)

Symbol	*Description*
PCNICC/2001/L.1	Proceedings of the Preparatory Commission at its seventh session (26 February-9 March 2001) (draft summary)
PCNICC/2001/L.1/Rev.1	Proceedings of the Preparatory Commission at its seventh session (26 February-9 March 2001) (summary)
PCNICC/2000/INF/5/Corr.1	List of delegations (sixth session) — corrigendum
PCNICC/2001/INF/1	Information document submitted by Cameroon
PCNICC/2001/INF/2	List of delegations (seventh session)

Eighth session of the Preparatory Commission (24 September-5 October 2001)

Symbol	*Description*
PCNICC/2001/L.2	Road map leading to the early establishment of the International Criminal Court
PCNICC/2001/L.2/Corr.1	Corrigendum
PCNICC/2001/L.3	Proceedings of the Preparatory Commission at its eighth session (draft summary)
PCNICC/2001/L.3/Rev.1	Proceedings of the Preparatory Commission at its eighth session
PCNICC/2001/L.3/Rev.1/Add.1	Annex II — draft first-year budget
PCNICC/2001/DP.1	Comments by Turkey with regard to the terrorist crimes
PCNICC/2001/DP.2	Views of Estonia on the International Criminal Court
PCNICC/2001/INF/3	Statement by the Minister for Foreign Affairs of the Kingdom of the Netherlands, Jozias J. van Aartsen, presented during the eighth session of the Preparatory Commission on 25 September 2001
PCNICC/2001/INF/4	List of delegations (eighth session)

Ninth session of the Preparatory Commission (8-19 April 2002)

Symbol	*Description*
PCNICC/2002/L.1	Proceedings of the Preparatory Commission at its ninth session (8-19 April 2002) (draft summary)
PCNICC/2002/L.1/Rev.1	Proceedings of the Preparatory Commission at its ninth session (8-19 April 2002) (summary)
PCNICC/2002/L.1/Rev.1/Add.1	Annex II — Revised draft budget for the first financial period of the Court
PCNICC/2002/L.1/Rev.1/Add.2	Annex III — Conditions of service of judges of the International Criminal Court
PCNICC/2002/INF/1	Conclusions of the second Consultation Meeting on the implications for States members of the Council of Europe of the ratification of the Rome Statute of the International Criminal Court, Strasbourg, France, 13 and 14 September 2001, and Declaration on the International Criminal Court, adopted by the Committee of Ministers of the Council of Europe on 10 October 2001: Information document submitted by Liechtenstein
PCNICC/2002/INF/2	Note: Outcome of intersessional meeting of experts held at The Hague from 11 to 15 March 2002, circulated at the request of the Netherlands
PCNICC/2002/INF/3	Information document submitted by Spain: Declaration by the Presidency on behalf of the European Union concerning the adoption of the Common Position on the International Criminal Court
PCNICC/2002/INF/4	Statement by the Presidency of the European Union on behalf of the European Union: Information document submitted by Spain
PCNICC/2002/INF/5	Statement by the Director-General, ICC Task Force, Ministry of Foreign Affairs of the Government of the Kingdom of the Netherlands, Mr. Edmond Wellenstein, on the revised draft budget for the first financial period of the International Criminal Court, presented during the ninth session of the Preparatory Commission: Information document submitted by the Netherlands
PCNICC/2002/INF/6	List of delegations (ninth session)

Working Group on a Draft Budget for the First Financial Year of the Court

Eighth session of the Preparatory Commission (24 September-5 October 2001)[1]

Symbol	*Description*
PCNICC/2001/WGFYB/L.1	Draft budget for the first financial year of the Court: prepared by the Secretariat
PCNICC/2001/WGFYB/L.1/Corr.1	Corrigendum
PCNICC/2001/WGFYB/RT.1	Part One — Proposed structure and administrative arrangements
PCNICC/2001/WGFYB/RT.1/Add.1	Addendum — Priority guidelines for the preparation of a revised draft first-year budget of the International Criminal Court

Ninth session of the Preparatory Commission (8-19 April 2002)

Symbol	*Description*
PCNICC/2002/WGFYB/L.1	Revised draft budget for the first financial period of the Court, prepared by the Secretariat
PCNICC/2002/WGFYB/L.2	Draft resolution of the Assembly of States Parties on crediting contributions to the United Nations Trust Fund to Support the Establishment of the International Criminal Court
PCNICC/2002/WGFYB/DP.1	Proposal submitted by France regarding the vacancy rate during the first financial period
PCNICC/2002/WGFYB/RT.1	Proposal by the Coordinator — Internal audit
PCNICC/2002/WGFYB/RT.2	Revised draft budget for the first financial period of the Court — Text of Part One proposed by the Coordinator
PCNICC/2002/WGFYB/RT.2/Corr.1	Corrigendum
PCNICC/2002/WGFYB/RT.3	Task list for the preparation of the discussion on a draft budget for the first financial period of the Court at the tenth session of the Preparatory Commission: Discussion paper proposed by the Coordinator

Working Group on Financial Issues — Remuneration of Judges

Ninth session of the Preparatory Commission (8-19 April 2002)[2]

Symbol	*Description*
PCNICC/2002/WGFI-RJ/L.1	Report of the Working Group — Conditions of service of the judges of the International Criminal Court
PCNICC/2002/WGFI-RJ/L.1/Rev.1	Revision
PCNICC/2002/WGFI-RJ/RT.1	Conditions of service of the judges of the International Criminal Court

[1] No documents were issued under this heading during the first to seventh sessions of the Preparatory Commission.

[2] No documents were issued under this heading during the first to eighth sessions of the Preparatory Commission.

Working Group on Financial Issues — Victims Trust Fund

Ninth session of the Preparatory Commission (8-19 April 2002)[2]

Symbol	*Description*
PCNICC/2002/WGFI-VTF/DP.1	Proposal submitted by France concerning a trust fund for the benefit of victims

Working Group on Assembly of States Parties — Preparatory Documents

Ninth session of the Preparatory Commission (8-19 April 2002)[2]

Symbol	*Description*
PCNICC/2002/WGASP-PD/L.1	Election of judges, the Prosecutor an ' the Registrar of the International Criminal Court: Working paper by the Secretariat
PCNICC/2002/WGASP-PD/L.2	Provisional agenda for the first meeting of the Assembly of States Parties. Working paper by the Secretariat
PCNICC/2002/WGASP-PD/L.3	Secretariat of the Assembly of States Parties of the International Criminal Court: Information paper by the Secretariat
PCNICC/2002/WGASP-PD/L.4	Draft resolution of the Assembly of States Parties concerning the provisional arrangements for the Secretaria of the Assembly of States Parties
PCNICC/2002/WGASP-PD/DP.1	Election of judges, the Prosecutor and the Registrar of the International Criminal Court: Proposal submitted by Switzerland
PCNICC/2002/WGASP-PD/DP.2	Proposal submitted by Belgium
PCNICC/2002/WGASP-PD/DP.3	Nomination of the Prosecutor: Proposal submitted by Greece and Switzerland
PCNICC/2002/WGASP-PD/RT.1	Provisional arrangements for the Secretariat of the Assembly of States Parties: Discussion paper proposed by the Coordinator

The crime of aggression

General documents relating to the crime of aggression

First session of the Preparatory Commission (16-26 February 1999)

Symbol	*Description*
PCNICC/1999/DP.11	Proposal submitted by Bahrain, Iraq, Lebanon, the Libyan Arab Jamahiriya, Oman, the Sudan, the Syrian Arab Republic and Yemen on the crime of aggression

Second session of the Preparatory Commission (26 July-13 August 1999)

Symbol	*Description*
PCNICC/1999/DP.12	Proposal submitted by the Russian Federation: definition of the crime of aggression
PCNICC/1999/DP.13	Proposal submitted by Germany: definition of the crime of aggression
PCNICC/1999/INF/2	Compilation of proposals on the crime of aggression submitted at the Preparatory Committee on the Establishment of an International Criminal Court (1996-1998), the United Nations Diplomatic Conference of Plenipotentiaries on the Establishment of an International Criminal Court (1998) and the Preparatory Commission for the International Criminal Court (1999)
PCNICC/1999/INF/2/Add.1	Addendum

Third session of the Preparatory Commission (29 November-17 December 1999)

Symbol	*Description*
PCNICC/1999/L.5/Rev.1	Proceedings of the Preparatory Commission at its first, second and third sessions (16-26 February, 26 July-13 August and 29 November-17 December 1999) (summary), annex IV

Fourth session of the Preparatory Commission (13-31 March 2000)

Symbol	*Description*
PCNICC/2000/L.1/Rev.1	Proceedings of the Preparatory Commission at its fourth session (13-31 March 2000) (summary), annex IV

Fifth session of the Preparatory Commission (12-30 June 2000)

Symbol	*Description*
PCNICC/2000/L.3/Rev.1	Proceedings of the Preparatory Commission at its fifth session (summary), annex II

Sixth session of the Preparatory Commission (27 November-8 December 2000)

Symbol	*Description*
PCNICC/2000/L.4/Rev.1	Proceedings of the Preparatory Commission at its sixth session (27 November-8 December 2000) (summary), annex V

Seventh session of the Preparatory Commission (26 February-9 March 2001)

Symbol	*Description*
PCNICC/2001/L.1/Rev.1	Proceedings of the Preparatory Commission at its seventh session (26 February-9 March 2001) (summary), annex V

Eighth session of the Preparatory Commission (24 September-5 October 2001)

Symbol	*Description*
PCNICC/2001/L.3/Rev.1	Proceedings of the Preparatory Commission at its eighth session (24 September-5 October 2001) (summary), annex III

Ninth session of the Preparatory Commission (8-19 April 2002)

Symbol	*Description*
PCNICC/2002/L.1/Rev.1	Proceedings of the Preparatory Commission at its ninth session (8-19 April 2002) (summary), annex IV

Working Group on the Crime of Aggression[3]

Third session of the Preparatory Commission (29 November-17 December 1999)

Symbol	*Description*
PCNICC/1999/WGCA/DP.1	Proposal submitted by Greece and Portugal
PCNICC/1999/WGCA/RT.1	Discussion paper proposed by the Coordinator: consolidated text of proposals on the crime of aggression
PCNICC/1999/WGCA/RT.1/Corr.1	Corrigendum
PCNICC/1999/WGCA/RT.1/Corr.2	Corrigendum (French only)

[3] No documents were issued under this heading during the first and second sessions of the Preparatory Commission.

Fourth session of the Preparatory Commission (13-31 March 2000)

Symbol	*Description*
PCNICC/2000/WGCA/DP.1	Proposal submitted by Colombia on the definition of the crime of aggression and on conditions for the exercise of the jurisdiction of the Court with regard to this crime
PCNICC/2000/WGCA/DP.1/Add.1	Addendum
PCNICC/2000/WGCA/DP.2	Proposal submitted by Colombia on the Italian proposal made orally in the Working Group on 13 March 2000
PCNICC/2000/WGCA/DP.3	Suggestions made orally by Italy on 13 March 2000 with regard to a structure for discussion on the crime of aggression
PCNICC/2000/WGCA/RT.1	Discussion paper proposed by the Coordinator: preliminary list of possible issues relating to the crime of aggression

Fifth session of the Preparatory Commission (12-30 June 2000)

Symbol	*Description*
PCNICC/2000/WGCA/INF/1	Reference document on the crime of aggression, prepared by the Secretariat

Sixth session of the Preparatory Commission (27 November-8 December 2000)

Symbol	*Description*
PCNICC/2000/WGCA/DP.4	Proposal submitted by Germany: the crime of aggression — a further informal discussion paper
PCNICC/2000/WGCA/DP.5	Proposal submitted by Greece and Portugal

Seventh session of the Preparatory Commission (26 February-9 March 2001)

Symbol	*Description*
PCNICC/2001/WGCA/DP.1	Proposal submitted by Bosnia and Herzegovina, New Zealand and Romania

Eighth session of the Preparatory Commission (24 September-5 October 2001)

Symbol	*Description*
PCNICC/2001/WGCA/DP.2	Proposal submitted by Bosnia and Herzegovina, New Zealand and Romania: definition of the crime of aggression
PCNICC/2001/WGCA/DP.2/Add.1	Addendum — Conditions for exercise of jurisdiction over the crime of aggression
PCNICC/2001/WGCA/DP.3	Proposal submitted by Guatemala on document PCNICC/2001/WGCA/DP.2

Ninth session of the Preparatory Commission (8-19 April 2002)

Symbol	*Description*
PCNICC/2002/WGCA/L.1	Historical review of developments relating to aggression, prepared by the Secretariat
PCNICC/2002/WGCA/L.1/Add.1	Addendum
PCNICC/2002/WGCA/DP.1	Proposal by the Netherlands concerning PCNICC/2002/WGCA/RT.1
PCNICC/2002/WGCA/RT.1	Definition of the crime of aggression and conditions for the exercise of jurisdiction: Discussion paper proposed by the Coordinator

Annex II

Revised draft budget for the first financial period of the Court

[*see PCNICC/2002/L.1/Rev.1/Add.1*]

Annex III

Conditions of service of judges of the International Criminal Court

[*see PCNICC/2002/L.1/Rev.1/Add.2*]

Annex IV

Crime of aggression

A. Definition of the crime of aggression and conditions for the exercise of jurisdiction[1]

Discussion paper proposed by the Coordinator

[Original: Spanish]

1. For the purposes of this Statute, an act of aggression means an act committed by a State as defined by United Nations General Assembly resolution 3314 (XXIX) of 14 December 1974 and subject to a prior determination by the United Nations Security Council.

2. For the purpose of this Statute, a crime of aggression means an act committed by a person who, being in a position to exercise control over or direct the political or military action of a State, intentionally and knowingly orders or participates actively in the planning, preparation, initiation or waging of an act of aggression, which:

Option 1: by its characteristics and gravity amounts to a war of aggression.

Option 2: has the object or result of establishing a military occupation of, or annexing, the territory of another State or part thereof.

Option 3: is in manifest violation of the Charter of the United Nations.

3. Where the Prosecutor intends to proceed with an investigation in respect of a crime of aggression, the Court shall first ascertain whether the Security Council has made a determination of an act of aggression committed by the State concerned as provided for in paragraph 1 of this article. If no Security Council determination exists, the Court shall notify the Security Council of the situation before the Court so that the Security Council may take action, as appropriate, under Article 39 of the Charter of the United Nations.

4. Where the Security Council does not make a determination as to the existence of an act of aggression or invoke article 16 of the Statute within six months from the date of notification,

Option 1: the Court shall proceed with the case.

Option 2: the Court shall dismiss the case.

Option 3: the Court shall, with due regard to the provisions of Articles 12, 14 and 24 of the Charter, request the General Assembly of the United Nations to make a recommendation within [12] months. In the absence of such a recommendation, the Court may proceed with the case.

[1] Issued at the ninth session of the Preparatory Commission.

Option 4: the Court may request the General Assembly to seek an advisory opinion from the International Court of Justice, in accordance with Article 96 of the Charter and article 65 of the Statute of the International Court, on the legal question of whether or not an act of aggression has been committed by the State concerned. The Court may proceed with the case if the International Court of Justice either:

(a) Gives an advisory opinion that an act of aggression has been committed by the State concerned; or

(b) Makes a finding in proceedings brought under Chapter II of its Statute that an act of aggression has been committed by the State concerned.

B. Consolidated text of proposals on the crime of aggression[2]

Prepared on the basis of the discussion papers proposed by the Coordinator

[Original: English]

Definition of the crime of aggression

Option 1

1. For the purposes of the present Statute, [and subject to a determination by the Security Council regarding the act of a State,] the crime of aggression means [the use of the armed force, including the initiation thereof, by an individual who is in a position of exercising control or directing the political or military action of a State, against the sovereignty, territorial integrity or political independence of a State in violation of the Charter of the United Nations.] any of the following acts committed by [an individual] [a person] who is in a position of exercising control or capable of directing the political or military action of a State:

(a) initiating, or

(b) carrying out.

Variation 1

[an armed attack] [the use of armed force] [a war of aggression] [a war of aggression, or a war in violation of international treaties, agreements or assurances, or participation in a common plan or conspiracy for the accomplishment of any of the foregoing] against another State [against another State, or depriving other peoples of their rights to self-determination], in [manifest] contravention of the Charter of the United Nations, to violate [to threaten or to violate] the [sovereignty,] territorial integrity or political independence of that State [or the inalienable rights of those people] [except when this is required by the principle of equal rights and self-determination of peoples and the rights of individual or collective self-defence].

Variation 2

an armed attack directed by a State against the territorial integrity or political independence of another State when this armed attack was undertaken in manifest contravention of the Charter of the United Nations with the object or result of establishing a military occupation of, or annexing, the territory of such other State or part thereof by armed forces of the attacking State.

Variation 3

Add the following paragraph to paragraph 1, variation 1, above:

2. Provided that the acts concerned or their consequences are of sufficient gravity, [acts constituting aggression include] [the use of the armed force includes] [are] the following [whether preceded by a declaration of war or not]:

(a) The invasion or attack by the armed forces of a State of the territory of

[2] The consolidated text of proposals on the crime of aggression (section A of this annex) was issued at the third session of the Preparatory Commission.

another State, or any military occupation, however temporary, resulting from such invasion or attack, or any annexation by the use of force of the territory of another State or part thereof;

(b) Bombardment by the armed forces of a State against the territory of another State or the use of any weapons by a State against the territory of another State;

(c) The blockade [of the ports or coasts] of a State by the armed forces of another State;

(d) An attack by the armed forces of a State on the land, sea or air forces, or marine and air fleets of another State;

(e) The use of armed forces of one State which are within the territory of another State with the agreement of the receiving State, in contravention of the conditions provided for in the agreement or any extension of their presence in such territory beyond the termination of the agreement;

(f) The action of a State in allowing its territory, which it placed at the disposal of another State, to be used by that other State for perpetrating an act of aggression against a third State;

(g) The sending by or on behalf of a State of armed bands, groups, irregulars or mercenaries which carry out acts of armed force against another State of such gravity as to amount to the acts listed above, or its substantial involvement therein.

3. When an attack [the use of armed force] under paragraph 1 has been committed, the

(a) planning

(b) preparing, or

(c) ordering

thereof by an individual who is in a position of exercising control or capable of directing the political or military action of a State shall also constitute a crime of aggression.

Option 2

For the purposes of the present Statute and subject to a prior determination by the United Nations Security Council of an act of aggression by the State concerned, the crime of aggression means any of the following acts: planning, preparing, initiating or carrying out a war of aggression.

Conditions for the exercise of jurisdiction

Option 1

1. The Court shall exercise its jurisdiction with regard to the crime of aggression in accordance with the provisions of article 13 of the Statute.

2. The Security Council shall determine the existence of an act of aggression perpetrated by the State whose national is concerned in accordance with the relevant

provisions of the Charter of the United Nations before proceedings take place in the Court with regard to the crime of aggression.

3. The Security Council, acting in accordance with article 13 (b) of the Statute of the International Criminal Court, shall first make a decision establishing that an act of aggression has been committed by the State whose national is concerned.

4. The Court, upon receipt of a complaint relating to the crime of aggression under article 13 (a) or (c), shall, with due regard to the provisions of Chapter VII of the Charter of the United Nations, first request the Security Council to determine whether or not an act of aggression has been committed by the State whose national is concerned.

5. The Security Council shall make a decision upon this request within [6] [12] months.

6. Notification of this decision shall be made by letter from the President of the Security Council to the President of the International Criminal Court without delay.

Variation 1

7. In the absence of a decision of the Security Council within the time frame referred to in paragraph 5 above, the Court may proceed.

8. The decision of the Security Council under paragraph 5 above shall not be interpreted as in any way affecting the independence of the Court in the exercise of its jurisdiction with regard to the crime of aggression.

Variation 2

7. Notwithstanding the provisions of paragraph 2 above, in the absence of a decision by the Security Council within the time frame referred to in paragraph 5 above, the Court shall, with due regard to the provisions of Articles 12, 14 and 24 of the Charter, request the General Assembly of the United Nations to make a recommendation.

8. The General Assembly shall make such a recommendation within [12] months.

9. Notification of this recommendation shall be made by letter from the President of the General Assembly to the President of the International Criminal Court without delay.

10. In the absence of such a recommendation within the time frame referred to in paragraph 8 above, the Court may proceed.

11. The decision of the Security Council under paragraph 5 above or the recommendation of the General Assembly under paragraph 8 above shall not be interpreted as in any way affecting the independence of the Court in the exercise of its jurisdiction with regard to the crime of aggression.

Option 2

1. The Court shall exercise its jurisdiction with regard to the crime of aggression subject to a determination by the Security Council, in accordance with article 39 of the Charter, that an act of aggression has been committed by the State concerned.

2. When a complaint related to the crime of aggression has been lodged, the Court shall first seek to discover whether a determination has been made by the Security Council with regard to the alleged aggression by the State concerned, and if not, it will request, subject to the provisions of the Statute, the Security Council to proceed to such a determination.

3. If the Security Council does not make such a determination or does not make use of article 16 of the Statute within 12 months of the request, the Court shall proceed with the case in question.

Option 3[3]

For the purposes of the present Statute and subject to a prior determination by the United Nations Security Council of an act of aggression by the State concerned, the crime of aggression means any of the following acts: planning, preparing, initiating or carrying out a war of aggression.

Explanatory note

A. On the definition of the crime of aggression

(i) The previous text represents an attempt to consolidate, to the extent possible, the proposals already made on the question of definition of the crime of aggression for the purpose of the Rome Statute.

(ii) The text accepts two basic principles, which seem to enjoy widespread support: the principle under which the crime of aggression is committed by political or military leaders of a State; and the principle that the planning, preparation or ordering of aggression should be criminalized only when an act of aggression takes place.

(iii) Option 1 presents three variations after the first sentence in paragraph 1. These variations correspond to most of the various approaches that were suggested with regard to the definition: general definition, definition based on the object or result of occupying or annexing the territory of the attacked State or part thereof, general definition plus detailed list of acts taken from General Assembly resolution 3314 (XXIX) of 14 December 1974.

(iv) Option 2 covers both the definition and the relationship with the Security Council, and is based, in its definitional part, on article 6 (a) of the Charter of the International Military Tribunal of Nürenberg.

(v) On some points, square brackets appeared to be inevitable to show the different formulas that were suggested. Where part of the text is added in square brackets, this is not intended to indicate lesser support for that part.

[3] Option 3 is duplicated and appears also under the definition of the crime of aggression since it covers the two issues, namely, the definition of the crime and conditions for the exercise of jurisdiction.

B. On the conditions for the exercise of jurisdiction

(i) The text is an attempt to consolidate all the proposals circulated so far on this issue, taking also into account views expressed by delegations from the floor.

(ii) Option 1 is an attempt to reflect views seeking to reconcile the prerogatives of the Security Council with the independence of the Court.

Hence, it is founded on the following considerations:

- Article 5 (2) of the Statute of the International Criminal Court stipulates that the definition of the *crime of aggression* and the conditions under which the Court shall exercise jurisdiction with respect to this crime shall be consistent with the relevant provisions of the Charter of the United Nations;
- As set out in Article 39 of the Charter, the Security Council has the responsibility for establishing the existence of an *act of aggression*;
- The Court exercises its jurisdiction over persons on the *crime of aggression* (articles 1, 5 and 25 of the Statute);
- The *crime of aggression* presupposes the existence of an *act of aggression*;
- The trigger mechanism should therefore recognize the primary responsibility of the Security Council to establish the existence of an *act of aggression* in accordance with the relevant provisions of the Charter;
- Variation 2 is based on the assumption that if, for any reason, the Security Council cannot make a decision, the Charter itself provides for an internal mechanism to address the issue.

(iii) Option 3 embodies both the definition and the relationship between the Court and the Security Council, and is based in its conditional part on the proposal as contained in article 23 (2) of the International Law Commission draft statute for the International Criminal Court.

B. Preliminary list of possible issues relating to the crime[4] of aggression

Discussion paper proposed by the Coordinator

A possible checklist of issues to be addressed in developing proposals for a provision on aggression in accordance with article 5, paragraph 2, of the Rome Statute and resolution F, paragraph 7, adopted by the United Nations Diplomatic Conference of Plenipotentiaries on the Establishment of an International Criminal Court

N.B. This preliminary list of possible issues is based on an initial review of the Rome Statute with a view to determining the provisions that may in some way be related to the definition of the crime of aggression. This non-exhaustive list is intended to facilitate a thematic discussion of possible issues most of which are closely interrelated.

I. Possible issues relating to the Rome Statute

- **Definition**

  (i) Whether the definition should be more general in nature referring to what may be the essential characteristics of the crime of aggression. (Possible instruments of reference: Charter of the United Nations; Nürenberg Charter; Draft Code of Crimes against the Peace and Security of Mankind; case law and other documents)

  (ii) Whether the definition should include a more specific list of acts which could constitute the crime of aggression. (Possible instrument of reference: General Assembly resolution 3314 (XXIX))

  (iii) Whether it would be possible to identify some acts listed in resolution 3314 (XXIX) and add them to the general definition of the crime of aggression.

- **Conditions under which the Court shall exercise jurisdiction**

  (i) What role should be played by the Security Council in relation to the jurisdiction of the Court over the crime of aggression?

  (ii) What action, if any, could be taken in the event that the Security Council fails or otherwise declines to determine that an act of aggression has occurred?

  (iii) What are the legal effects on the functions of the Court arising from a determination by the Security Council that an act of aggression was committed by a State?

[4] The preliminary list of possible issues relating to the crime of aggression was at the fourth session of the Preparatory Commission.

- **Consistency with the relevant provisions of the Charter of the United Nations**

- **Complementarity and admissibility**

  How would the provisions of the Statute on complementarity (admissibility, challenges to the Court's jurisdiction) be applicable to the crime of aggression? (This could include issues dealt with in preambular paragraphs 6 and 10, article 1, as well as articles 12 to 19 of the Rome Statute.)

- ***Ne bis in idem***

  Applicability of exceptions to the crime of aggression (Rome Statute, art. 20 (3), only refers to crimes in arts. 6, 7 and 8)

- **General principles of criminal law**

  Consider the relationship between the definition of the crime of aggression and the articles on general principles of criminal law:

  (i) *Nullum crimen sine lege* (art. 22)

  (ii) *Nulla poena sine lege* (art. 23)

  (iii) Non-retroactivity *ratione personae* (art. 24)

  (iv) Individual criminal responsibility (art. 25)

  (v) Exclusion of jurisdiction over persons under eighteen (art. 26)

  (vi) Irrelevance of official capacity (art. 27)

  (vii) Responsibility of commanders and other superiors (art. 28)

  (viii) Non-applicability of statute of limitations (art. 29)

  (ix) Mental element (art. 30)

  (x) Grounds for excluding criminal responsibility (art. 31)

  (xi) Mistake of fact or mistake of law (art. 32)

  (xii) Superior orders and prescription of law (art. 33)

- **Investigation and prosecution**

  Consider the provisions concerning the investigation and prosecution of crimes with respect to the crime of aggression (e.g., initiation of an investigation (art. 53))

- **National security information**

  Consider the provisions concerning the protection of national security information in relation to the crime of aggression (art. 57 (3) (c), art. 72, art. 93 (4) and art. 99 (5))

- **International cooperation and judicial assistance**

  These provisions may require further consideration depending upon the applicability of the principle of complementarity to the crime of aggression.

The following parts of the Rome Statute do not appear to raise possible issues regarding the definition of the crime of aggression:

Part 4. Composition and Administration of the Court

Part 7. Penalties (The penalties set forth in article 77 are applicable to all crimes referred to in article 5.)

Part 8. Appeal and Revision

Part 10. Enforcement

Part 11. Assembly of States Parties

Part 12. Financing

Part 13. Final Clauses (The provision on aggression is to be adopted in accordance with articles 121 and 123 pursuant to article 5 of the Rome Statute.)

II. Possible issues relating to the Elements of Crimes

- The elements of the crime of aggression are provided for in resolution F rather than article 9 of the Rome Statute.
- Consider the structure and general provisions of the elements of the other crimes prepared pursuant to article 9 of the Rome Statute to ensure consistency.

III. Possible issues relating to the Rules of Procedure and Evidence

- Review the final text of the Rules of Procedure and Evidence prepared by the Preparatory Commission to determine whether there are provisions that require consideration in relation to the definition of the crime of aggression.

IV. Other possible issues

- What are the legal effects on the ICC of a decision of the International Court of Justice concerning aggression?